

SUPPLEMENT: URBAN SYSTEMIC PROGRAM

**K-12 HIGHER EDUCATION PARTNERSHIPS
(KHEP)**

Special Solicitation

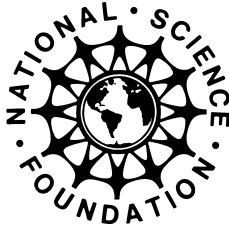
NSF 00-45

DIRECTORATE FOR EDUCATION AND HUMAN RESOURCES
DIVISION OF EDUCATIONAL SYSTEM REFORM

DEADLINE DATE: MAY 5, 2000



NATIONAL SCIENCE FOUNDATION



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SUMMARY OF PROGRAM REQUIREMENTS

GENERAL INFORMATION

Program Name: K-12 Higher Education Partnerships (KHEP)

Short Description/Synopsis of Program:

This supplemental funding is made possible through a FY1999 Memorandum of Understanding on Precollege Education between the National Science Foundation (NSF) and the National Institutes of Health (NIH). This special solicitation seeks to provide supplemental support to urban school districts funded through NSF's Division of Educational System Reform's Urban Systemic Program (USP), Urban Systemic Initiatives (USI), and the Comprehensive Partnerships for Mathematics and Science Achievement (CPMSA) through K-12 Higher Education Partnerships (KHEP). Awards will support the establishment of partnerships among institutions of higher education (IHE) and local urban school districts to enhance student and teacher development in science and mathematics. The objective is to enhance teacher and student learning by establishing meaningful partnerships to increase participation in science, mathematics, and related technology areas, thereby improving the overall success of students enrolled in urban school districts. Specifically, this supplemental funding will support opportunities in science and mathematics for one or more of the following: (1) teacher participation in research-based professional development; (2) student engagement in research-based experiences through internships and/or mentorships; (3) the development of science and mathematics summer institutes for teachers taught by faculty members in the science and mathematics disciplines in collaboration with professors from schools of education; and (4) the engagement of graduate students from science, mathematics, engineering, and technology fields in K-12 activities to promote increased student achievement in SMT.

Cognizant Program Officer: Celeste Pea, Program Officer, Room 875, Division of Educational System Reform, telephone 703. 306.1690, e-mail: cpea@nsf.gov.

Applicable Catalog of Federal Domestic Assistance (CFDA) No.: 47.076 — EHR

ELIGIBILITY

- ◆ Limitation on the categories of organizations that are eligible to submit proposals:

Proposals may be submitted by K-12 Urban School Districts currently funded through NSF's Division of Educational System Reform.

- ◆ PI eligibility limitations:

Proposal may only be submitted by the Superintendent or the Chief School Officer of the submitting urban school districts. This individual must serve as the Principal Investigator.

- ◆ Limitation on the number of proposals that may be submitted by an organization:

Only one proposal may be submitted by each active awardee.

AWARD INFORMATION

- ◆ Type of award anticipated: **Supplemental amendments to existing Cooperative Agreements**
- ◆ Number of awards anticipated in FY 2000: **10-12 awards**
- ◆ Amount of funds available: **Approximately \$2.75 million pending availability of funds**
- ◆ Anticipated date of award: **August 2000**

PROPOSAL PREPARATION & SUBMISSION INSTRUCTIONS

- ◆ **Proposal Preparation Instructions**
 - Letter of Intent requirements: **None**
 - Preproposal requirements: **None**
 - Proposal preparation instructions: **Standard NSF Grant Proposal Guide instructions**
 - Supplemental proposal preparation instructions: **None**
 - Deviations from standard (GPG) proposal preparation instructions: **None**
- ◆ **Budgetary Information**
 - Cost sharing/matching requirements:

Cost sharing at a level of 20% of total eligible project costs is required for all proposals submitted in response to this announcement. The proposed cost sharing must be shown on line M on the proposal budget (NSF Form 1030.)
 - Indirect cost (F&A) limitations: **None**
 - Other budgetary limitations:

Award amounts are limited up to \$275,000 for one year for proposals submitted in response to this program solicitation.
- ◆ **FastLane Requirements**
 - FastLane proposal preparation requirements: **Use of the FastLane proposal preparation system is required**
 - FastLane point of contact: **Denise Spain, (703) 306-1684, dspain@nsf.gov**

◆ **Deadline/Target Dates**

- Full Proposal Deadline **5:00 PM your local time, May 5, 2000**

PROPOSAL REVIEW INFORMATION

- ◆ Merit Review Criteria: **Standard National Science Board approved criteria**

AWARD ADMINISTRATION INFORMATION

- ◆ Grant Award Conditions: **GC-1; CA-1**
- ◆ Special grant conditions anticipated: **None anticipated**
- ◆ Special reporting requirements anticipated: **None**

I. INTRODUCTION

The Education and Human Resources Directorate of the National Science Foundation (NSF) announces its intent to support the establishment of a program activity to enhance the goals and objectives of the Division of Educational System Reform's (ESR) Urban Systemic Programs (USP). This program activity builds on the extant Centers of Excellence for Research, Teaching and Learning (CERTL) funded by the National Institutes of Health (through a memorandum of understanding) which over the last five years has involved the participation of colleges and universities: (1) to be local and regional resources to improve the teaching and learning process; and (2) to provide laboratory and research-based experiences for precollege students. Therefore, the K-12 Higher Education Partnerships (KHEP) are designed to improve, advance, and extend local partnership development. These partnerships are to be administered through subawards based at colleges and universities that are in close proximity to the existing USP sites. The NSF/NIH collaborative effort will support up to 10 to 12 USP supplemental awards in fiscal year 2000.

II. PROGRAM DESCRIPTION

KHEP will assist urban school districts participating in NSF's Urban Systemic Programs to significantly improve their science, mathematics, engineering, and technology education (SMETE) programs. The objective is to enhance teacher and student development by stimulating interest in and increasing participation in science, mathematics, and related technology areas, thereby improving the overall success of students enrolled in urban school districts. Specifically, this supplemental funding will support opportunities in science and mathematics for: (1) teacher participation in research-based professional development; (2) student engagement in research-based experiences through internships and/or mentorships; (3) the development of science and mathematics summer institutes for teachers taught by faculty members in the science and mathematics disciplines in collaboration with professors from schools of education; and (4) the engagement of graduate students from science, mathematics, engineering, and technology fields in K-12 activities to promote increased student achievement in SMT. All proposals should address the ways in which activities to be implemented through KHEP are linked to the local K-12 curriculum and informed by research findings.

III. ELIGIBILITY INFORMATION

- The proposal must be submitted by a K-12 urban school district currently participating in the USP, USI, or the CPMSA;
- Only one proposal may be submitted by the Office of the Superintendent or Chief School Officer who must agree to serve as the Principal Investigator; and
- The proposal must meet a cost-share of 20% of the proposed budget request.

IV. AWARD INFORMATION

Under this announcement, proposals may be submitted for up to \$275,000 for one year. NSF expects to fund approximately 10 to 12 awards as supplements to existing USP cooperative agreements. Approximately \$2.75 million will be available for this initiative in FY 2000. Anticipated date of awards: August 2000.

V. PROPOSAL PREPARATION & SUBMISSION INSTRUCTIONS

A. Proposal Preparation Instructions.

Proposals submitted in response to this program announcement should be prepared and submitted in accordance with the general guidelines contained in the *Grant Proposal Guide* (GPG), NSF 00-2. The complete text of the GPG (including electronic forms) is available electronically on the NSF Web site at: <http://www.nsf.gov/>. Paper copies of the GPG may be obtained from the NSF Publications Clearinghouse, telephone 301.947.2722 or by e-mail from pubs@nsf.gov.

Proposers are reminded to identify the program announcement number (NSF 00-45) in the program announcement/solicitation block on the NSF Form 1207, "*Cover Sheet for Proposal to the National Science Foundation*." Compliance with this requirement is critical to determining the relevant proposal processing guidelines. Failure to submit this information may delay processing.

Program Design

KHEP must be developed in collaboration with college-level faculty representing the science and mathematics disciplines and schools of education. These faculty members should have experience in using their expertise in specific disciplines as well as in research, training, and innovative teaching strategies working with teachers and students. The selected IHE should be easily accessible (in terms of distance) on a daily basis to the school system's teachers and students and the activities constructed to meet the needs of the teachers and students. Therefore, the proposal must demonstrate compellingly how proposed activities will improve the content knowledge and skills of participating teachers. Moreover, the proposal must illustrate how proposed activities will offer new learning opportunities for students which will both motivate and challenge them to consider careers in science and mathematics. The ability to clearly describe the existence of such opportunities will weigh heavily in the review process.

The proposed KHEP activities should not replace existing systemic efforts. Rather, it should demonstrate new and value-added activities for teachers and students to extend current efforts.

Eligible activities may include:

1. Opportunities for teachers to participate in research-based professional development;
2. Research-based experiences for students through internships and/or mentorships;
3. The development of science and mathematics summer institutes for teachers taught by discipline based faculty members in collaboration with professors from schools of education; and

4. The engagement of graduate students of science, mathematics, engineering, and technology fields in K-12 activities to promote increased student achievement in SMT.

The proposal shall be limited to **15 pages** per GPG instructions and must include in explicit detail how this program activity will advance the existing K-12 reform plan being implemented in the district. **No appendices will be allowed.**

Results from Prior NSF Funding

Districts that received prior NSF funding including those that participated in the CERTL program are required to provide information that fully describes the outcomes of prior activities and how they relate to the current proposal (see Grant Proposal Guide NSF 00-2; Page 8). Up to **five** pages may be used for this purpose, however, *fewer* than five pages may be used which will give the proposers the balance of the 15 pages for the instructional program description.

B. Budgetary Information

Please note: All proposals must address and adhere to budget requirements of the existing award to which it will be appended.

Cost Sharing Requirements.

Cost sharing at a level of 20% of the requested total amount of NSF funds is required for all proposals submitted in response to this announcement. The proposed cost sharing must be shown on line M on the proposal budget (NSF Form 1030.)

The amount of cost sharing must be shown in the proposal in enough detail to allow NSF to determine its impact on the proposed project. Documentation of availability of cost sharing must be included in the proposal.

Only items which would be allowable under the applicable cost principles, if charged to the project, may be included as the grantee's contribution to cost sharing. Contributions may be made from any non-Federal source, including non-Federal grants or contracts, and may be cash or in-kind (see OMB Circular A-110, Section 23). It should be noted that contributions counted as cost-sharing toward projects of another Federal agency may not be counted towards meeting the specific cost-sharing requirements of the NSF grant.

All cost-sharing amounts are subject to audit. Failure to provide the level of cost-sharing reflected in the approved grant budget may result in termination of the NSF grant, disallowance of grant costs and/or refund of grant funds to NSF.

C. Proposal Due Date.

The proposal **MUST** be submitted via FastLane by 5:00 PM, your local time, May 5, 2000.

A proposal may not be processed until the complete proposal (including the signed Cover Sheet) has been received by NSF. A proposal is considered complete when the proposal, including the Project Description, has been submitted to NSF. The receipt date will be the date the sponsored projects office transmits the proposal to NSF.

Submission of Signed Cover Sheets. The signed copy of the proposal Cover Sheet (NSF Form 1207) must be postmarked (or contain a legible proof of mailing date assigned by the carrier) within **five** working days following proposal submission and be forwarded to the following address:

NSF 00-45
National Science Foundation
DIS-FastLane Cover Sheet
4201 Wilson Blvd.
Arlington, VA 22230

D. FastLane Requirements.

Proposers are required to prepare and submit proposals using the NSF FastLane proposal preparation system. Detailed instructions for proposal preparation and submission via FastLane are available at <https://www.fastlane.nsf.gov/a1/newstan.htm>.

Submission of Signed Cover Sheets. For proposals submitted electronically, the signed paper copy of the proposal Cover Sheet (NSF Form 1207) should be forwarded to NSF within five working days following proposal submission in accordance with FastLane proposal preparation and submission instructions referenced above.

VI. PROPOSAL REVIEW INFORMATION

A. Merit Review Criteria.

Reviews of proposals submitted to NSF are solicited from peers with expertise in the substantive area of the proposed research or education project. These reviewers are selected by Program officers charged with the oversight of the review process. NSF invites the proposer to suggest, at the time of submission, the names of appropriate or inappropriate reviewers. Care is taken to ensure that reviewers have no conflicts with the proposer. Special efforts are made to recruit reviewers from non-academic institutions, minority serving institutions or adjacent disciplines to that principally addressed in the proposal.

Proposals will be reviewed against the following general merit review criteria established by the National Science Board. Following each criterion are potential considerations that the reviewer may employ in the evaluation. These are suggestions and not all will apply to any given proposal. Each reviewer will be asked to address only those that are relevant to the proposal and for which he/she is qualified to make judgments.

What is the intellectual merit of the proposed activity?

How important is the proposed activity to advancing knowledge and understanding within its own field or across different fields? How well qualified is the proposer (individual or team) to conduct the project? (If appropriate, the reviewer will comment on the quality of prior work.) To what extent does the proposed activity suggest and explore creative and original concepts? How well conceived and organized is the proposed activity? Is there sufficient access to resources?

What are the broader impacts of the proposed activity?

How well does the activity advance discovery and understanding while promoting teaching, training, and learning? How well does the proposed activity broaden the participation of underrepresented groups (e.g., gender, ethnicity, disability, geographic, etc.)? To what extent will it enhance the infrastructure for research and education, such as facilities, instrumentation, networks, and partnerships? Will the results be disseminated broadly to enhance scientific and technological understanding? What may be the benefits of the proposed activity to society?

PIs should address the following elements in their proposal to provide reviewers with the information necessary to respond fully to both NSF merit review criteria. NSF staff will give these factors careful consideration in making funding decisions.

Integration of Research and Education

One of the principal strategies in support of NSF's goals is to foster integration of research and education through the programs, projects and activities it supports at academic and research institutions. These institutions provide abundant opportunities where individuals may concurrently assume responsibilities as researchers, educators, and

students and where all can engage in joint efforts that infuse education with the excitement of discovery and enrich research through the diversity of learner perspectives.

Integrating Diversity into NSF Programs, Projects, and Activities

Broadening opportunities and enabling the participation of all citizens -- women and men, underrepresented minorities, and persons with disabilities -- are essential to the health and vitality of science and engineering. NSF is committed to this principle of diversity and deems it central to the programs, projects, and activities it considers and supports.

Elaboration of Review Criteria:

In addition to the general NSF review criteria, reviewers will also be asked to review the supplemental proposals on the basis of the following criteria:

- The extent to which districts can demonstrate the ability to partner with institutions of higher education to offer research opportunities in fields to a significant number of teachers and students; and
- The extent to which districts can demonstrate the ability to seamlessly embed proposed activities in the existing K-12 program design.

A summary rating and accompanying narrative will be completed and signed by each reviewer. In all cases, reviews are treated as confidential documents. Verbatim copies of reviews, excluding the names of the reviewers, are mailed to the Principal Investigator/Project Director by the Program Director. In addition, the proposer will receive an explanation of the decision to award or decline funding.

B. Review Protocol and Associated Customer Service Standard

All proposals are carefully reviewed by at least three other persons outside NSF who are experts in the particular field represented by the proposal. Most of the proposals are reviewed by mail review, panel review, or some combination of mail and panel review. Proposals submitted in response to this announcement will be reviewed by a combination of mail and panel review.

Reviewers will be asked to formulate a recommendation to either support or decline each proposal. A program officer assigned to manage the proposal's review will consider the advice of reviewers and will formulate a recommendation. NSF will be able to tell applicants whether their proposals have been declined or recommended for funding within six months for 95 percent of proposals. The time interval begins on the proposal deadline or target date or from the date of receipt, if deadlines or target dates are not used by the program. The interval ends when the division director accepts the program officer's recommendation.

In all cases, after programmatic approval has been obtained, the proposals recommended for funding will be forwarded to the Division of Grants and Agreements for review of business, financial, and policy implications and the processing and issuance of a grant or other agreement. Proposers are cautioned that only a Grants Officer may make commitments, obligations or awards on behalf of NSF or authorize the expenditure of funds. No commitment on the part of NSF should be inferred from technical or budgetary discussions with an NSF Program officer. A principal investigator or organization that makes financial or personnel commitments in the absence of a grant or cooperative agreement signed by the NSF Grants Officer does so at its own risk.

VII. AWARD ADMINISTRATION INFORMATION

A. Notification of the Award.

Notification of the award is made *to the submitting organization* by a Grants Officer in the Division of Grants and Agreements (DGA). Organizations whose proposals are declined will be advised as promptly as possible by the

cognizant NSF Program Division administering the program. Verbatim copies of reviews, not including the identity of the reviewer, will be provided automatically to the Principal Investigator.

B. Award Conditions.

An NSF grant consists of: (1) the award document, which includes any special provisions applicable to the award and any numbered amendments thereto; (2) the budget, which indicates the amounts, by categories of expense, on which NSF has based its support (or otherwise communicates any specific approvals or disapprovals of proposed expenditures); (3) the proposal referenced in the award document; (4) the applicable award conditions, such as Grant General Conditions (NSF GC-1)* and (5) any NSF brochure, program guide, announcement or other NSF issuance that may be incorporated by reference in the award document. Electronic mail notification is the preferred way to transmit NSF awards to organizations that have electronic mail capabilities and have requested such notification from the Division of Grants and Agreements.

* These documents may be accessed electronically on NSF's Web site at: <http://www.nsf.gov/>. Paper copies may be obtained from the NSF Publications Clearinghouse, telephone 301.947.2722 or by e-mail from pubs@nsf.gov.

Cooperative agreement awards also are administered in accordance with NSF Cooperative Agreement Terms and Conditions (CA-1).

More comprehensive information on NSF Award Conditions is contained in the NSF *Grant Policy Manual* (GPM) Chapter II, (NSF 95-26) available electronically on the NSF Web site. The GPM also is available in paper copy by subscription from the Superintendent of Documents, Government Printing Office, Washington, DC 20402. The GPM may be ordered through the GPO Web site at: <http://www.gpo.gov>. The telephone number at GPO for subscription information is 202.512.1800.

C. Reporting Requirements.

For all multi-year grants (including both standard and continuing grants), the PI must submit an annual project report to the cognizant Program Officer at least 90 days before the end of the current budget period.

Within 90 days after expiration of a grant, the PI also is required to submit a final project report. Approximately 30 days before expiration, NSF will send a notice to remind the PI of the requirement to file the final project report. Failure to provide final technical reports delays NSF review and processing of pending proposals for that PI. PIs should examine the formats of the required reports in advance to assure availability of required data.

NSF has implemented a new electronic project reporting system, available through FastLane, which permits electronic submission and updating of project reports, including information on: project participants (individual and organizational); activities and findings; publications; and, other specific products and contributions. Reports will continue to be required annually and after the expiration of the grant, but PIs will not need to re-enter information previously provided, either with the proposal or in earlier updates using the electronic system.

VIII. CONTACTS FOR ADDITIONAL INFORMATION

General inquiries should be made to the K-12 Higher Education Learning Partnerships: **Urban Systemic Program, Celeste Pea**, Program Officer, Room 875, Division of Educational System Reform, National Science Foundation, Arlington, VA 22230, telephone 703. 306.1690, e-mail: cpea@nsf.gov. For questions related to use of FastLane, contact Denise Spain, (703) 306-1684, dspain@nsf.gov.

IX. OTHER PROGRAMS OF INTEREST

The NSF Guide to Programs is a compilation of funding for research and education in science, mathematics, and engineering. General descriptions of NSF programs, research areas, and eligibility information for proposal submission are provided in each chapter. Many NSF programs offer announcements concerning specific proposal requirements. To obtain additional information about these requirements, contact the appropriate NSF program offices listed in Appendix A of the GPG. Any changes in NSF's fiscal year programs occurring after press time for the Guide to Programs will be announced in the NSF Bulletin, available monthly (except July and August), and in individual program announcements. The Bulletin is available electronically via the NSF Web Site at <http://www.nsf.gov>. The direct URL for recent issues of the Bulletin is <http://www.nsf.gov/od/lpa/news/publicat/bulletin/bulletin.htm>. Subscribers can also sign up for NSF's Custom News Service to find out what funding opportunities are available.

ABOUT THE NATIONAL SCIENCE FOUNDATION

The National Science Foundation (NSF) funds research and education in most fields of science and engineering. Grantees are wholly responsible for conducting their project activities and preparing the results for publication. Thus, the Foundation does not assume responsibility for such findings or their interpretation.

NSF welcomes proposals from all qualified scientists, engineers and educators. The Foundation strongly encourages women, minorities, and persons with disabilities to compete fully in its programs. In accordance with federal statutes, regulations, and NSF policies, no person on grounds of race, color, age, sex, national origin, or disability shall be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving financial assistance from NSF (unless otherwise specified in the eligibility requirements for a particular program).

Facilitation Awards for Scientists and Engineers with Disabilities (FASSED) provide funding for special assistance or equipment to enable persons with disabilities (investigators and other staff, including student research assistants) to work on NSF-supported projects. See the program announcement or contact the program coordinator at (703) 306-1636.

The National Science Foundation has Telephonic Device for the Deaf (TDD) and Federal Information Relay Service (FIRS) capabilities that enable individuals with hearing impairments to communicate with the Foundation regarding NSF programs, employment, or general information. TDD may be accessed at (703) 306-0090 or through FIRS on 1-800-877-8339.

We want all of our communications to be clear and understandable. If you have suggestions on how we can improve this document or other NSF publications, please email us at plainlanguage@nsf.gov.

PRIVACY ACT AND PUBLIC BURDEN STATEMENTS

The information requested on proposal forms and project reports is solicited under the authority of the National Science Foundation Act of 1950, as amended. The information on proposal forms will be used in connection with the selection of qualified proposals; project reports submitted by awardees will be used for program evaluation and reporting within the Executive Branch and to Congress. The information requested may be disclosed to qualified reviewers and staff assistants as part of the review process; to applicant institutions/grantees to provide or obtain data regarding the proposal review process, award decisions, or the administration of awards; to government contractors, experts, volunteers and researchers and educators as necessary to complete assigned work; to other government agencies needing information as part of the review process or in order to coordinate programs; and to another Federal agency, court or party in a court or Federal administrative proceeding if the government is a party. Information about Principal Investigators may be added to the Reviewer file and used to select potential candidates to serve as peer reviewers or advisory committee members. See Systems of Records, NSF-50, "Principal Investigator/Proposal File and Associated Records," 63 Federal Register 267 (January 5, 1998), and NSF-51,

"Reviewer/Proposal File and Associated Records," 63 Federal Register 268 (January 5, 1998). Submission of the information is voluntary. Failure to provide full and complete information, however, may reduce the possibility of receiving an award.

Public reporting burden for this collection of information is estimated to average 120 hours per response, including the time for reviewing instructions. Send comments regarding this burden estimate and any other aspect of this collection of information, including suggestions for reducing this burden, to: Reports Clearance Officer; Information Dissemination Branch, DAS; National Science Foundation; Arlington, VA 22230.

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